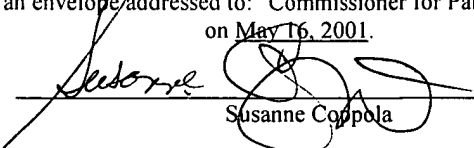




**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service First Class Mail in an envelope addressed to: "Commissioner for Patents, Washington, D.C. 20231" on May 16, 2001.

  
Susanne Coppola

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT : Lalit Narayan and Dechu P. Muthana  
SERIAL NO. : 09/766,911  
DATE FILED : January 22, 2001  
FOR : System and Method to Establish Trading Mechanisms Employing  
Auctions and Reverse Auctions

Commissioner for Patents  
Washington, D.C. 20231

Box: Missing Parts

**TRANSMITTAL OF LATE DECLARATION**

SIR :

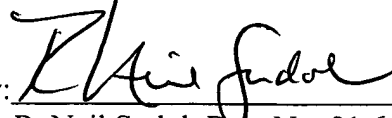
In response to the Notice to File Missing Parts of Non-Provisional Application mailed May 25, 2001 in the above-identified application (copy enclosed), enclosed herewith is a Declaration duly signed by both inventors, Lalit Narayan and Dechu P. Muthana.

A previous transmittal of the Declaration was submitted on March 28, 2001. Accompanying the previous transmittal was a check in the amount of Sixty-Five Dollars (\$65.00) in payment of the late filing charge in accordance with the fees for small entity status. Enclosed is a copy of the previous Transmittal as well as a copy of the date stamped postcard evidencing receipt.

An Assignment to BondGlobe Inc. was filed in the United States Patent and Trademark Office; the filing particulars have not yet been received. The Assignee company qualifies for small entity status. A copy of the Assignment is enclosed for reference purposes.

Kindly charge any additional fees or credit any over-remittance to Deposit Account No. 04-0838. A duplicate of this transmittal sheet is enclosed for deposit account purposes.

Respectfully submitted,  
COLEMAN SUDOL SAPONE, P.C.

By:   
R. Neil Sudol, Reg. No. 31,669

708 Third Avenue, 14th Floor  
New York, New York 10017  
(212) 679-0090

Dated: May 16, 2001



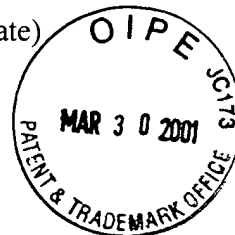
**RNS B41-003**  
**Serial No.: 09/766,916**

**Narayan and Muthana**  
**Filing Date: January 22, 2001**

Date Mailed: March 28, 2001

The stamp of the Patent Office hereon may be taken as  
acknowledgment of receipt, on the date stamped, of the following:

Transmittal of Late Declaration (in duplicate)  
Late Declaration  
Copy of Assignment to BondGlobe Inc.  
Check for \$65.00 (Chk # 1709)





#3

## DECLARATION FOR UNITED STATES PATENT APPLICATION

As a below named inventor, I (we) hereby declare that:

My residence, post office address and citizenship are the same as stated below next to my name.

I (we) believe I am (we are) an original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

System and Method to Establish Trading Mechanisms Employing Auctions and Reverse Auctions

the specification of which (check one)

☐ is attached hereto.

☒ was filed on January 22, 2001 as Application Serial No. 09/766,911

and was amended on \_\_\_\_\_ (if applicable).

☐ was filed as PCT International application No. \_\_\_\_\_ on \_\_\_\_\_

and was amended on \_\_\_\_\_ (if applicable).

I (we) hereby state that I (we) have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I (we) acknowledge the duty to disclose information known to me to be material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I (we) hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

<u>Number</u>	<u>Country</u>	<u>Filing Date (mm/dd/yyyy)</u>	<u>Priority Claimed</u>
_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No

I (we) hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

<u>Number</u>	<u>Filing Date (mm/dd/yyyy)</u>
60/227,157	August 22, 2000

I (we) hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulation, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

<u>Application Serial No.</u>	<u>Filing Date (d/m/y)</u>	<u>Status (Patented, Pending, Abandoned)</u>

I (we) hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Henry D. Coleman, Reg. No. 32,559;  
William J. Sapone, Reg. No. 31, 518

of  
Coleman Sudol Sapone, P.C.  
708 Third Avenue, 14th Floor  
New York, New York 10017.

Direct all telephone calls to: R. Neil Sudol/Henry D. Coleman/William J. Sapone at Telephone No. (212) 679-0090

Address all correspondence to: R. Neil Sudol/Henry D. Coleman/William J. Sapone at

**Coleman Sudol Sapone, P.C.**  
**708 Third Avenue, 14th Floor**  
**New York, NY 10017**  
**U.S.A.**

I (we) hereby declare that all statements made herein of my (our) own knowledge are true, and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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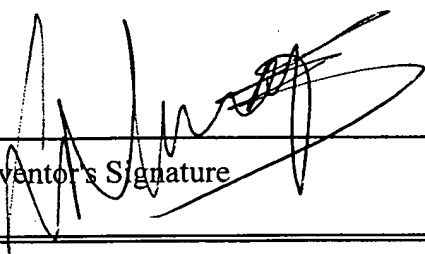
Full name of sole or first inventor: . . . Lalit Narayan

Residence: . . . . . 7 Whitney Place  
Princeton Junction, New Jersey 08550

Post Office Address: . . . . . Same as above

Country of Citizenship: . . . . . India

March 22, 2001  
Date

  
Inventor's Signature

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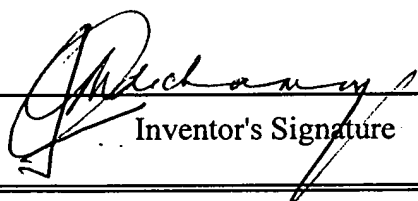
Full name of second inventor: . . . Dechu P. Muthana

Residence: . . . . . 50 Battery Place, Apt. 7Z  
New York, New York 10280

Post Office Address: . . . . . Same as above

Country of Citizenship: . . . . . India

March 21, '01  
Date

  
Inventor's Signature

## ASSIGNMENT

For one dollar (\$1.00) and other valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the undersigned (hereinafter "Assignor") hereby sells, assigns and transfers to BondGlobe Inc. , a New Jersey Corporation, having a principal place of business at One World Trade Center, Suite 7967, New York, New York 10048, its successors, legal representatives, assigns and nominees (hereinafter "Assignee"), my/our entire right, title and interest in, to, and under:

- a. Assignor's application for Letters Patent entitled:

System and Method to Establish Trading Mechanisms Employing Auctions  
and Reverse Auctions

Executed On: \_\_\_\_\_  
X Serial Number: 09/766,911 Filed: January 22, 2001

- b. Any and all inventions described in said application for Letters Patent.
- c. Any and all divisional, continuation, renewal, and substitute applications that may be filed for United States Letters Patent for any and all of said inventions.
- d. Any and all patents that may be granted on the foregoing applications and any and all continuations, reissues, or extensions thereof.
- e. Any and all improvements thereon or relating thereto which assignor has invented.
- f. Any and all rights in foreign countries under such applications and inventions, including the right to claim the priority date of the United States application and the right to priority under such application under the International Convention.

Assignor hereby authorizes and requests the Commissioner of Patents to issue any and all such Letters Patent for said invention to said Assignee.

Assignor further covenants and warrants that, to the best of his/her knowledge, the rights and properties herein conveyed are free and clear of any encumbrances and Assignee shall hold and enjoy any and all inventions, application, and Letters Patent issued thereon for its own use as fully and entirely as the Assignor would have held and enjoyed said rights had this assignment and sale not been made, including the full right of the Assignee to convey said rights.

Assignor further agrees on his/her own behalf, and on behalf of his/her heirs, legal representatives, administrators, and assigns, at any time, upon request, without additional compensation, but at no expense, to:

1. Communicate to said Assignee any facts relating to the invention and the history thereof;

2. Execute and deliver all papers and do all acts which may be necessary, desirable, or convenient to secure, maintain, and enforce patents for said invention in any and all countries; and to execute and deliver any and all papers or instruments that in the opinion of Assignee may be necessary or desirable to vest title thereto in Assignee or its nominees, including the execution and delivery of any and all papers or instruments to carry out the terms of this Agreement, and to secure to Assignee the full enjoyment of the rights and properties herein conveyed or intended to be conveyed; and

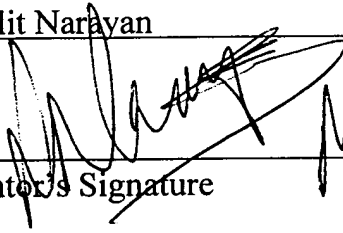
3. Testify at all proceedings concerning said invention and patents.

**Full Name of First Inventor:**

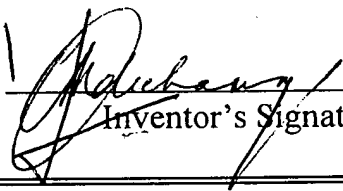
**Full Name of Second Inventor:**

Lalit Narayan

Dechu P. Muthana

  
Inventor's Signature

March 22, 2001  
Date

  
Inventor's Signature

March 21, 01  
Date

Witness: \_\_\_\_\_

Print Name

Witness: \_\_\_\_\_

Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date